

## **Guidelines for the Establishment of the Office of Research Integrity at National Central University**

Formulated at the 2nd Planning Meeting for Establishing the Office of Research Integrity on November 22, 2023

Approved at the 782nd Administrative Meeting on December 11, 2023

1. To implement the mechanism of academic integrity on campus, enhance the academic integrity and ethical literacy of faculty and students, promote a culture of integrity in research, and advance measures related to academic integrity, National Central University (hereinafter referred to as "the University") establishes the "Office of Research Integrity" (ORI, hereinafter referred to as "the Office") and formulates the "Guidelines for the Establishment of the Office of Research Integrity at National Central University" (hereinafter referred to as "these guidelines").
  
2. The tasks of the Office are as follows:
  - (1) coordinating and formulating regulations and norms related to academic integrity;
  - (2) publicizing and promoting regulations and norms related to academic integrity;
  - (3) handling accusations regarding breaches of academic integrity;
  - (4) promoting, facilitating, and coordinating other matters related to academic ethics and research integrity.
  
3. The Office shall have one director, selected and appointed from one of the three vice presidents of the University by the president of the University, with a term of two years, renewable. The director shall appoint one deputy director from the University's full-time faculty to assist the director in executing and supervising the business of the Office. The appointment of the deputy director is subject to approval by the president, and the term of the deputy director matches that of the director. The Office may invite collaboration of other administrative units of the University in advancing relevant tasks.
  
4. The Office shall establish the "Research Integrity Committee" (hereinafter referred to as "the Committee"), responsible for reviewing cases regarding academic integrity. The Committee shall have one chairperson, either the director of the Office or a scholar/expert from within or outside the University appointed by the president of the University. The chairperson shall appoint one vice chairperson from the University's full-time faculty. The appointment of the vice chairperson is subject to approval by the president. The Committee shall consist of four ex officio members, four faculty representatives from within the University, and one to three external legal or academic experts/scholars with experience in handling cases of academic integrity. The four ex officio members include the vice president for academic affairs, the vice president for student affairs, the vice president for research and development, and the director of the Personnel Office. The four

faculty representatives from within the University shall be selected and appointed by the president from the candidate list submitted to the president by the Office, and each college shall recommend one or two full-time professors as candidates on the list. These four faculty representatives shall come from four academic areas—biomedicine and science (College of Health Science and Technology and College of Science); Information and Engineering (College and Electrical Engineering and Computer Science and College of Engineering); Earth Sciences and Sustainability (College of Earth Sciences and Graduate College of Sustainability and Green Energy); Humanities, Social Science, and Management (College of Liberal Arts, College of Hakka Studies, and School of Management). The one to three external legal or academic experts shall be selected and appointed by the president from the list of candidates recommended by the Office. The committee members' term of office is two years, renewable, and the members serve on a pro bono basis. External members may receive attendance fees and transportation fees per regulations.

5. Academic integrity cases at the University shall be handled as follows:

- (1) Cases related to degree conferment shall be handled according to the Degree Conferral Act and relevant regulations (handled by the Office of Academic Affairs).
- (2) Cases involving faculty accreditation reviews shall be handled per the Regulations Governing Accreditation of Teacher Qualifications at Junior Colleges and Institutions of Higher Education and relevant regulations (handled by the Personnel Office).
- (3) Cases involving National Science and Technology Council project applications shall be handled per the National Science and Technology Council's "Guidelines for Handling and Investigating Research Misconduct The National Science and Technology Council" and related regulations (handled by the Research and Development Office).
- (4) Other academic integrity cases: The Office shall assign a responsible unit to handle the cases based on factors such as the category of the accused, the nature of the case, or the content of the accusation.
- (5) Cases involving disciplinary actions, other measures, or resolutions against current students of the University who have breached academic integrity shall be handled per the "Regulations on National Central University Student Rewards and Punishments," the "Regulations for Reviewing National Central University Student Complaints," and relevant regulations (handled by the Office of Student Affairs).

6. The procedures for handling academic integrity cases:

- (1) Case acceptance: The Office handles the acceptance of cases and may invite assistance from relevant units in confirming the identities of the accused and related individuals.
- (2) Formality examination review: The chairperson of the Committee shall invite one to two committee members depending on the type of case and may invite one dean from the relevant college and one legal expert to convene a formality examination meeting within ten working

days of receiving an accusation to confirm whether the accusation and accompanying evidence are specific and sufficient. If the case is deemed valid, substantive investigation procedures will be initiated.

- (3) Substantive investigation: The responsible unit shall transfer the case to the college that the accused belongs to for investigation. The college shall follow the principle of avoiding conflicts of interest to form a review panel of five to seven members within ten working days of its receipt of the case. The review panel shall complete the investigation report within ten weeks of the college's receipt of the case and submit it to the Committee for review.
- (4) Review of investigation report: The Committee shall review the investigation report completed by the review panel.
- (5) Decision on disciplinary action and reply: After the review of the investigation report is completed, it shall be submitted to the Office for filing. Subsequent matters shall be handled per relevant regulations based on the identity of the accused, and the responsible unit shall make a reply regarding the handling of the case.

7. Regarding academic integrity cases, informants must provide their real names and contact information as well as the accused, allegations, and evidence. Upon verification, if the allegations are substantiated, the cases will proceed to the processing stage. In cases where the informant's identity information provided by the informant is found to be untrue, the accusation is considered anonymous.

If an informant is considered anonymous or chooses to remain anonymous but provides the specific identity of the accused, specific allegations, and substantial evidence, the case may still be processed.

8. The Office's funding shall be provided by the relevant responsible units or the Office of Secretariat. The Office can also submit a formal request to the president for allocating funding to the Office.
9. Matters not covered in these guidelines shall be handled per relevant regulations of the University.
10. These guidelines shall come into effect upon approval by the Administrative Meeting. The same procedure applies to any amendments to these guidelines thereafter.